



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: SHIMOMURA  
Serial No.: 10/590067  
Filed: August 21, 2006  
Title: POLISHING PAD AND METHOD FOR MANUFACTURE OF SEMICONDUCTOR DEVICE USING THE SAME

Examiner: Unknown  
Group Art Unit: Unknown  
Docket: 08279.1153USWO

**CERTIFICATE UNDER 37 CFR 1.8:**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: MAIL STOP AMENDMENT Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 23, 2006.

By: 

Name: RALYNN WILHELM

**INFORMATION DISCLOSURE STATEMENT**

Mail Stop AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. Copies of any foreign patent documents or "Other Documents" are enclosed. Please note that some of the references listed on the FORM 1449 were cited in an International Search Report dated May 31, 2005. A copy is enclosed.

In accordance with the provisions of 37 C.F.R. §1.97, this statement is being filed  
(CHECK ONE):

- ☒ (1) within three (3) months of the Filing Date, before the mailing date of a First Office Action on the merits, or before the mailing date of a First Office Action on the merits after the filing of a request for continued examination under 37 C.F.R. §1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a Final Rejection or Notice of Allowance, and
- ☐ the requisite Statement is below, OR
- ☐ the requisite fee of \$180.00 under Rule 1.17(p) is included herein, or
- ☐ (3) after the mailing date of a Final Rejection or Notice of Allowance but on or before the payment of the Issue Fee, AND
- ☐ the requisite Statement is below, AND
- ☐ the requisite fee of \$180.00 under Rule 1.17(p) is included herein.

## STATEMENT

As required under §1.97(e), Applicants hereby state either that:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☐ If this box is checked, Applicant provides the following:

### **Certification Under 37 C.F.R. §1.704(d)**

In accordance with 37 C.F.R. §1.704(d), the undersigned hereby certifies that each item listed on the enclosed Form 1449 was first cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty (30) days prior to the filing of this Information Disclosure Statement.

☐ The Examiner is hereby advised of the following co-pending U.S. applications. A copy of each U.S. patent application publication (if published) or application (if not published) is enclosed.

Application No.

Filing Date

Group

A concise explanation of the relevance of each non-English language document or other information is as follows (37 C.F.R. §1.98(a)(3)):

References WO 03/043071 and US 2005/0064709 correspond with JP 2003-218074.  
References WO 91/14538 and US 5,257,478 correspond with JP 2003-303794.  
References US 2004/0055223 and US 2006/0148391 correspond with JP 2003-305635.  
References EP 658,401 and US 5,564,965 correspond with JP 07-164307.

An English abstract has been provided for the following references:

JP 2003-218074  
JP 2003-305635

JP 2003-124161  
JP 2002-059357

JP 2003-303794  
JP 07-164307

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

#### **FEE AUTHORIZATION**

Should any fee associated with the submission of this paper not be attached hereto as a check, the Commissioner is authorized to charge the missing fee to our Deposit Account, No. 50-3478. Any overpayments should be credited to said Deposit Account.

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &  
LARSON, P.C.

Post Office Box 2902

Minneapolis, MN 55402-0902

(612) 455-3800

Dated: October 23, 2006

By: 

Douglas P. Mueller

Reg. No. 30,300

DPM:rkW

FORM 1449\*

## INFORMATION DISCLOSURE STATEMENT

Docket Number:

08279.1153USWO

Application Number:

10/590067

## IN AN APPLICATION

(Use several sheets if necessary)

Applicant: SHIMOMURA

Filing Date: August 21, 2006

Group Art Unit:: unknown

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	US 2005/0064709	March 2005	SHIMOMURA et al.			
	US 5,257,478	November 1993	HYDE et al.			
	US 2004/0055223	March 2004	ONO et al.			
	US 2006/0148391	July 2006	ONO et al.			
	US 5,564,965	October 1996	TANAKA et al.			

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	JP 2003-218074	July 2003	JAPAN			Abstract	
	JP 2003-124161	April 2003	JAPAN			Abstract	
	JP 2003-303794	October 2003	JAPAN			Abstract	
	WO 03/043071	May 2003	WIPO			See IDS	
	WO 91 14538	October 1991	WIPO			See IDS	
	JP 2003-305635	October 2003	JAPAN			Abstract	
	JP 2002-059357	February 2002	JAPAN			Abstract	
	JP 07-164307	June 1995	JAPAN			Abstract	
	EP 0658401	July 1995	EPO			See IDS	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	International Search Report for International Publication No. PCT/JP2005/002785 dated May 31, 2005.
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PATENT TRADEMARK OFFICE

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.



*Handwritten signature/initials*

UNITED STATES PATENT AND TRADEMARK OFFICE

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By: *[Signature]*  
Name: Ralynn Wilhelm

Mail Stop AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The following papers are transmitted herewith:

- ☒ Transmittal Sheet in duplicate containing Certificate of Mailing
- ☒ Information Disclosure Statement, Form 1449, 9 references
- ☒ International Search Report dated May 31, 2005.
- ☒ Preliminary Amendment
- ☒ Return Postcard

Please charge any additional fees or credit overpayment to Deposit Account No. 50-3478. A duplicate of this sheet is enclosed.

Hamre, Schumann, Mueller & Larson, P.C.  
P.O. Box 2902 Minneapolis, MN 55402  
612.455-3800

By: *[Signature]*  
Name: Douglas P. Mueller  
Reg. No.: 30,300  
Initials: DPM/rkw